

ORDINANCE 57(D): Degree of Doctor in Philosophy (applicable to students who commenced their studies between March 2004 and the end of 2007-08)

The University of Liverpool, for the encouragement of graduate study, has established a Doctorate in Philosophy (PhD) in the Faculties of Arts, Science, Medicine, Engineering, Veterinary Science and Social and Environmental Studies¹.

The degree of Doctor in Philosophy may be conferred upon:

1. A graduate of this or any other approved university or institution², or a candidate who holds a qualification deemed by the University to be equivalent to an Honours Degree of this University who has submitted one of the following:
 - a thesis embodying the results of his/her individual research; or
 - a collection of published papers, including typescripts of papers accepted for publication but not yet in print, together with a critical review of the work described in the papers; or
 - a published book or books describing a coherent line of research; or
 - a substantial collection of original creative material developed specifically in pursuit of the degree, together with a written thesis which contextualises that work within an academic framework;

which is adjudged to make an original contribution to learning; which is coherently structured and clearly presented; and which shows evidence of systematic study and of ability to relate the results of such study to the general body of knowledge in the subject, provided that:

- a) s/he has pursued full-time research in the University or in an affiliated institution approved by the Council for the purposes of this clause, for not less than two calendar years, under the supervision of a member of the academic staff of the University or of the affiliated institution, appointed by the Head of the appropriate Department of this University;
- b) the University, on application, may permit the research study to be pursued outside the University under approved conditions;
- c) s/he shall, before the commencement of the course, have submitted evidence satisfactory to the University of adequate training and ability to pursue the proposed course;
- d) the submission shall not include work for which a degree or other qualification has already been awarded, except for the sake of completeness, when the submission consists mainly or wholly of published papers. In that case, all such work shall be clearly identified;

¹ The Faculties named have now been reorganised into three Faculties: Health and Life Sciences, Humanities and Social Studies and Science and Engineering.

² For the purpose of this Ordinance, applicants for the degree of PhD who are holders of degrees awarded by the Council for National Academic Awards are treated on the same footing as graduates of an approved university.

- e) applications for the degree based on the submission of published papers or book(s) shall be accepted on an exceptional basis only. Only papers or book(s) written during the period of registration for the degree will be admissible and the papers or book(s) submitted should have a common theme with an identifiable link;
 - f) applications for the degree based on the submission of a collection of original creative material together with a written thesis shall be accepted, on an exceptional basis, when the subject area of the submitted work is within Fine Art or the Performing Arts.
2. A graduate member of the full-time academic staff of this University, or a graduate member, recognised by the Council as a teacher of the University, of the full-time staff of an affiliated institution which has been approved by the Council for the purposes of this clause, who has presented one of the following:
- a thesis embodying the results of his/her individual research; or
 - a collection of published papers, including typescripts of papers accepted for publication but not yet in print, together with a critical review of the work described in the papers; or
 - a published book or books describing a coherent line of research; or
 - a substantial collection of original creative material developed specifically in pursuit of the degree, together with a written thesis which contextualises that work within an academic framework;

which is adjudged to make a contribution to learning, and which shows evidence of systematic study and of ability to relate the results of such study to the general body of knowledge in the subject, provided that:

- a) the evidence on which the application is based shall be presented within seven years from the date of first registration for the degree and shall normally not be presented earlier than four years from that date. Extensions will be granted only in exceptional circumstances, with the special permission of the Senate;
- b) the evidence on which the application is based shall be presented not later than two years after the applicant has left the service of the University or affiliated institution and not later than seven years from the date of first registration for the degree;
- c) a supervisor shall be appointed by the Head of Department (or equivalent) at the time of registration;
- d) the submission shall not include any work for which a degree has already been awarded, except for the sake of completeness, when the submission consists mainly or wholly of published papers. In that case, all such work shall be clearly identified;
- e) applications for the degree based on the submission of published papers or book(s) shall be accepted on an exceptional basis only. Only papers or book(s) written during the period of registration for the degree will be admissible and the papers or book(s) submitted should have a common theme with an identifiable link.

- f) applications for the degree based on the submission of a collection of original creative material together with a written thesis shall be accepted on an exceptional basis, when the subject area of the submitted work is within Fine Art or the Performing Arts.
3. A graduate of this or any other approved university or institution, or a candidate who holds a qualification deemed by the University to be equivalent to an honours degree of this University, who has presented one of the following:
- a thesis embodying the results of his/her individual research; or
 - a collection of published papers, including typescripts of papers accepted for publication but not yet in print, together with a critical review of the work described in the papers; or
 - a published book or books describing a coherent line of research; or
 - a substantial collection of original creative material developed specifically in pursuit of the degree, together with a written thesis which contextualises that work within an academic framework;

which is adjudged to make a contribution to learning and which shows evidence of systematic study and of ability to relate the results of such study to the general body of knowledge in the subject, provided that:

- a) s/he has pursued part-time research for not less than four years, under arrangements for supervision made by the Head of the appropriate University Department (or equivalent), the time spent on studying during this period being equivalent to not less than two years of full-time study;
 - b) s/he shall, before the commencement of the course, have submitted evidence satisfactory to the University of adequate training, facilities and opportunities to pursue the proposed research;
 - c) the submission shall not include any work for which a degree has already been awarded, except for the sake of completeness, when the submission consists mainly or wholly of published papers. In that case, all such work shall be clearly identified;
 - d) applications for the degree based on the submission of published papers or book(s) shall be accepted on an exceptional basis only. Only papers or book(s) written during the period of registration for the degree will be admissible and the papers or book(s) submitted should have a common theme with an identifiable link;
 - e) applications for the degree based on the submission of a collection of original creative material together with a written thesis shall be accepted, on an exceptional basis, when the subject area of the submitted work is within Fine Art or the Performing Arts.
4. A graduate of this or any other approved University or institution, or a candidate who holds a qualification deemed by the University to be equivalent to an honours degree of this University, who holds a temporary post as a Research Fellow, Research Assistant, Senior Research Assistant, or Research Associate in a Department of the University or an affiliated

institution approved by the Council for the purposes of this clause, who has presented one of the following:

- a thesis embodying the results of his/her individual research; or
- a collection of published papers, including typescripts of papers accepted for publication but not yet in print, together with a critical review of the work described in the papers; or
- a published book or books describing a coherent line of research; or
- a substantial collection of original creative material developed specifically in pursuit of the degree, together with a written thesis which contextualises that work within an academic framework;

which is adjudged to make a contribution to learning and which shows evidence of systematic study and of ability to relate the results of such study to the general body of knowledge in the subject, provided that:

- a) s/he has, whilst holding an appointment as a Research Fellow, Research Assistant, Senior Research Assistant or Research Associate in a Department of the University or the affiliated institution, pursued research for not less than two years and nine months, under the supervision of a member of the academic staff of the University appointed by the Head of the appropriate Department (or equivalent);
- b) the University, on application, may permit a part of the research to be pursued elsewhere under approved conditions for a specified period or periods provided that at least twelve months are spent in the University or in the affiliated institution;
- c) s/he shall, before the commencement of the course, have submitted evidence satisfactory to the University of adequate training and ability to pursue the proposed course;
- d) the submission shall not include work for which a degree or other qualification has already been awarded, except for the sake of completeness, when the submission consists mainly or wholly of published papers. In that case, all such work shall be clearly identified;
- e) applications for the degree based on the submission of published papers or book(s) shall be accepted on an exceptional basis only. Only papers or book(s) written during the period of registration for the degree will be admissible and the papers or book(s) submitted should have a common theme with an identifiable link;
- f) applications for the degree based on the submission of a collection of original creative material together with a written thesis shall be accepted, on an exceptional basis, when the subject area of the submitted work is within Fine Art and the Performing Arts.

REGULATIONS

Within these Regulations the word 'thesis' is used generally to represent the total submitted work to be examined for the degree.

All candidates should refer to Regulations 23-33.

For candidates under clause 1 of the Ordinance

1. Every candidate who proposes to engage in a course of research shall apply to the Head of Department (or equivalent) or affiliated institution in which s/he wishes to study. The application must give particulars of the educational career and qualifications of the candidate as well as evidence of fitness to engage in research.
2. If the Head of the Department (or equivalent) or affiliated institution concerned is satisfied as to the fitness of the candidate, s/he shall forward the application, indicating the proposed field of research and the name of the supervisor, to the Dean of the Faculty³ concerned, for consideration by the Faculty Director of Postgraduate Research.
3. A candidate who proposes to pursue their research study outside the University will need:
 1. an approved local co-supervisor who should normally hold a permanent post and have a suitable research record;
 2. to undertake successfully appropriate postgraduate research development activities or obtain exemption on the grounds of suitable prior experience of accreditation.

Each case must be submitted for approval by the relevant Faculty Director of Postgraduate Research prior to the candidate's acceptance by the University.

4. Every candidate shall register as a student of the University at the beginning of his/her course, and again at the beginning of each subsequent year of the course.
5. A candidate who is registered for the degree of PhD shall not be registered for any other degree, diploma or certificate.
6. Every candidate, except those referred to in Regulation 7, is required during his/her course of study to devote the whole of his time to his/her research. S/he may, however, be allowed to undertake other work for not more than fifteen hours a week, unless otherwise restricted by the terms and conditions of sponsorship agreements, subject to the discretion of the Head of the Department (or equivalent).
7. Upon application to the relevant Faculty Director of Postgraduate Research, a student registered under this clause may be permitted to transfer his/her registration from full-time to part-time study. If a student is permitted to transfer his/her registration from full-time to part-time after one year, the thesis may not normally be presented for examination before the end of the fourth year of registration or later than the sixth year of registration. If a student is permitted to transfer his/her registration from full-time to part-time after two years, the thesis may not normally be presented before the end of the fourth year of registration or later than the fifth year of registration. Transfers to part-time registration requested after more than two years of full-time registration will not be permitted.
8. A thesis will normally be submitted for examination within four calendar years of first registration for the degree (excluding any periods of suspension of

³ The office of Dean of Faculty has now been replaced by the office of Executive Pro-Vice-Chancellor.

studies). The maximum period of registration for full-time PhD candidates, including any periods of suspended study, extensions to the expected submission date, writing up (thesis submission pending) and re-submission, shall be seven calendar years. Notice of intention to present a thesis shall be given on the prescribed form to the University (PGR Student Team) or the affiliated institution not less than two months before the date of presentation.

9. A candidate who has been accepted for a course for the degree of PhD may be permitted, by the relevant Faculty Director of Postgraduate Research, to transfer to the course for the Master of Philosophy degree provided that such transfer takes place before the thesis is presented.
10. There shall be a minimum of two Examiners to assess an application for the degree of PhD who shall be appointed by the appropriate Faculty. There shall always be an Internal Examiner and an External Examiner. A candidate's supervisor shall normally be consulted before the Examiners are appointed.

For candidates under clause 2 of the Ordinance

11. Every candidate who proposes to submit a thesis for the degree shall at the earliest opportunity inform the Head of his/her Department (or equivalent) in writing of the proposed field of his research. The Head of the Department shall make arrangements for supervision in accordance with the Ordinance and shall forward the candidate's particulars, together with the name of the supervisor, to the Registrar⁴. Every candidate shall register as a student of the University at the beginning of the course, and again at the beginning of each subsequent year of the course.
12. Notice of intention to submit a thesis for the degree shall be given on the prescribed form to the University (PGR Student Team) or affiliated institution not less than two months before the date of presentation.
13. There shall be two External Examiners, appointed by the appropriate Faculty, to assess applications submitted by members of the full-time academic staff, together with an Internal Examiner.

For candidates under clauses 3 and 4 of the Ordinance

Clause 3 candidates only

14. Every candidate who proposes to engage in a part-time course of research shall apply to the Head of the appropriate University Department (or equivalent) and shall complete the appropriate application form as to his/her educational career and qualifications. The candidate shall provide an outline of approximately 400-500 words of the proposed research project, and his/her knowledge of the field of research and relevant literature. In addition, the applicant must supply particulars and evidence of adequate training, facilities and opportunities to pursue the proposed research project, together with a statement of how the required time, equivalent to two years' full-time is to be distributed, and the expected duration of the project. Candidates will be required to show that they have commitments to employment or family which prevent them from pursuing a course of research full-time. Candidates who propose to conduct research in a commercial, industrial or government organisation shall provide the name of their employer, a description of his/her

⁴ The office of Registrar has been replaced by the office of Chief Operating Officer.

duties, and a statement from a senior member of the organisation that the application has the support of the organisation and that all the necessary facilities and time will be made available to the candidate to conduct his/her research.

15. If the Head of the Department (or equivalent) is satisfied in all respects as to the fitness of the candidate to engage in the proposed research project, and with the arrangements for him/her do to so, including the arrangements made for supervision, s/he shall forward the application, indicating the proposed field of research and the name of the supervisor, for consideration by the relevant Faculty Director of Postgraduate Research.

Clause 4 candidates only

16. Every candidate who proposes to engage in a course of research shall apply to the Head of the Department (or equivalent) or affiliated institution in which s/he wishes to study. The application must give particulars of the educational career and qualifications of the candidate, as well as evidence of adequate training, facilities and opportunity to pursue the proposed course.
17. If the Head of the Department (or equivalent) or affiliated institution concerned is satisfied as to the fitness of the candidate, s/he shall forward the candidate's application, indicating the proposed field of research, and the name of the supervisor, for consideration by the Faculty Director of Postgraduate Research.

For all candidates accepted under clauses 3 and 4

18. Every candidate shall register as a student of the University at the beginning of his/her course, and again at the beginning of each subsequent year of the course.
19. A student who is registered for the degree of PhD shall not be registered for any other degree, diploma or certificate.
20. A thesis must be presented within seven years from the date of first registration for the degree (excluding any periods of suspension of studies). Extensions will be granted only in exceptional circumstances, with the special permission of the Senate. The maximum period of registration for part-time PhD candidates, including any periods of suspended study, extensions to the expected submission date, writing up (thesis submission pending) and re-submission, shall be nine years. Notice of intention to present a thesis shall be given on the prescribed form to the PGR Student Team or the affiliated institution not less than two months before the date of presentation.
21. A candidate who has been accepted for a course for the degree of PhD may be permitted, normally by the relevant Faculty Director of Postgraduate Research, to transfer to the course for the MPhil degree, in so far as Ordinances and Regulations permit, provided that such transfer takes place before the thesis is presented.
22. There shall be a minimum of two Examiners to assess an application for the degree of PhD who shall be appointed by the Board of the appropriate Faculty. There shall always be an Internal Examiner and an External Examiner. A candidate's supervisor shall normally be consulted before the Examiners are appointed.

For all candidates

23. Every candidate shall be required to complete appropriate postgraduate research development activities.
24. A candidate shall state generally in the preface and specifically in the body of the thesis, the sources from which his/her information is derived and the extent to which s/he has availed himself/herself of the work of others.
25. Where submission is by written thesis alone, the thesis should be as concise as possible and in no circumstances may a thesis be submitted should the number of words exceed 100,000, including footnotes and appendices without written permission being obtained from a candidate's supervisor and the Head of Department (or equivalent) concerned. Where the written thesis accompanies the submission of a collection of original creative material, the thesis should not exceed 50,000 words.
26. The written thesis, whether it is the whole submission or part of a submission, must be written in English. In the case of candidates working in the discipline of Modern Languages, the University may, exceptionally, allow a thesis to be submitted in a language other than English provided that such approval is sought and granted at the time of initial registration.
27. It will normally be expected that the candidate is the primary author of the majority of the papers or the book(s) submitted. Where joint authorship does occur, a statement of the contribution made by the applicant shall be provided, together with the status of the other authors.
28. Three copies of each submission (including one copy in electronic format) shall be submitted to the University (PGR Student Team) or the affiliated institution in accordance with the provisions of the PGR Code of Practice: Policy on the Submission of a Research Degree Thesis for Examination.
29. Regulations 23 and 24 above and the Regulations which govern the earliest and latest dates for submission shall apply to submissions by both thesis and published work.
30. Where a collection of original creative material is also submitted for examination, the archival record should include photographic, video, cd-rom or dvd evidence, which encompasses the material submitted and any artefacts or documentation integral to the creation of the work. A short inventory with brief descriptions should also be included.
31. An oral examination of the candidate shall be held, when the Examiners shall examine the candidate on the subject of the thesis, and on matters relevant thereto.
32. Each Examiner shall prepare an independent written report before the oral examination. After the oral examination, a joint report should be prepared, including, when appropriate, an agreed recommendation. If the Examiners are unable to agree on a recommendation, an additional External Examiner may be appointed, who shall be required to act independently of the other Examiners.
33. The Examiners may recommend:
 - a) that the degree of PhD be conferred;

- b) that the degree of PhD be conferred subject to the candidate making minor modifications to the thesis within three months of the formal notification of the outcome of their *viva voce* by the University, which do not alter the substance of the thesis in any significant or fundamental manner, to the satisfaction of one or more of the Examiners, as may be agreed between them;
- c) that the candidate be permitted to make a subsequent application for the degree of PhD on one occasion only, provided that the application is made not more than one calendar year from the date of the formal notification of the outcome of their *viva voce* by the University. A thesis may only be re-presented for the award of PhD as the result of a recommendation made in accordance with this provision, and shall be revised having due regard to the Examiners' observations. A second oral examination shall normally be held, but this may be waived at the discretion of the Examiners;
- d) that the degree of Master of Philosophy be conferred upon the candidate, subject to minor modifications being made to the thesis, if required, within three months of the formal notification of the outcome of their *viva voce* by the University, to the satisfaction of one or more of the Examiners, as may be agreed between them;
- e) that the candidate be permitted to make a subsequent application for the degree of MPhil on one occasion only, provided that the application is made not more than one calendar year from the date of the formal notification of the outcome of their *viva voce* by the University. A thesis may only be re-presented for the award of MPhil as the result of a recommendation made in accordance with this provision, and shall be revised having due regard to the Examiners' observations. A second oral examination shall normally be held, but this may be waived at the discretion of the Examiners;
- f) that the candidate be deemed not to have attained the standard required for the degree of PhD or MPhil and that no further opportunity be allowed for examination.

The PGR Code of Practice can be found at:

<https://www.liverpool.ac.uk/aqsd/academic-codes-of-practice/pgr-code-of-practice/>